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J1130 U.S. PTO

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PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

NEW UTILITY PATENT APPLICATION TRANSMITTAL <i>(only for new nonprovisional applications under 37 CFR 1.53(b))</i>	<i>Attorney Docket Number</i>	21153-04920
	<i>First Named Inventor</i>	Jeffrey D. Walker
	<i>Title</i>	Integrated optical device including a vertical lasing semiconductor optical amplifier
	<i>Express Mail Label No.</i>	EL566108267US

J0832 U.S. PTO
 12/11/01
 10/014679

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 3. <input checked="" type="checkbox"/> Specification <i>Total Pages</i> 43 <i>(preferred arrangement set forth below)</i> <input type="checkbox"/> Descriptive Title of the Invention <input type="checkbox"/> Cross Reference(s) to Related Case(s) <input type="checkbox"/> Statement Regarding Fed sponsored R & D <input type="checkbox"/> Background of the Invention <input type="checkbox"/> Brief Summary of the Invention <input type="checkbox"/> Brief Description of the Drawing(s) <input type="checkbox"/> Detailed Description <input type="checkbox"/> Claim or Claims <input type="checkbox"/> Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. <i>Total Sheets</i> 28 113) 5. Oath or Declaration a. <input checked="" type="checkbox"/> New Declaration <i>Total Pages</i> 1 <input checked="" type="checkbox"/> Executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 9. <input checked="" type="checkbox"/> Power of Attorney or Authorization of Agent 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement 11. <input type="checkbox"/> Preliminary Amendment 12. <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Citation(s) 13. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent 14. <input checked="" type="checkbox"/> Return Postcard 15. <input type="checkbox"/> 16. <input type="checkbox"/> 17. <input type="checkbox"/>
ADDRESS TO: Box Patent Application Commissioner for Patents Washington, D.C. 20231	

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: ____/____

Prior application information: Examiner: _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number and Bar Code Label



00758

<i>Name (Print/Type)</i>	Michael W. Farn	<i>Registration No. (Attorney/Agent)</i>	41,015
<i>Signature</i>		<i>Date</i>	December 11, 2001

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

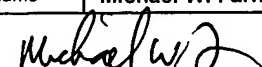
<div>0002/PTO(modified) Rev. 10/2001</div> <div style="text-align: center;">U.S. Department of Commerce Patent and Trademark Office</div> <div style="text-align: center;">FEE TRANSMITTAL</div> <div style="text-align: center;">TOTAL AMOUNT OF PAYMENT Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$)620</div>		Complete if Known	
		Application Number	Unassigned
		Filing Date	December 11, 2001
		First Named Inventor	Jeffrey D. Walker
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
		Attorney Docket Number	21153-04920

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METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																								
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. † <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other	3. ADDITIONAL FEES <table border="1" style="width:100%"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th><th>Fee Due</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td><input type="text"/></td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td><input type="text"/></td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td><input type="text"/></td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month†</td><td><input type="text"/></td></tr><tr><td>116/\$400</td><td>216/\$200</td><td>Extension for response within second month†</td><td><input type="text"/></td></tr><tr><td>117/\$920</td><td>217/\$460</td><td>Extension for response within third month†</td><td><input type="text"/></td></tr><tr><td>118/\$1,440</td><td>218/\$720</td><td>Extension for response within fourth month†</td><td><input type="text"/></td></tr><tr><td>128/\$1,960</td><td>228/\$980</td><td>Extension for response within fifth month†</td><td><input type="text"/></td></tr><tr><td>119/\$320</td><td>219/\$160</td><td>Notice of Appeal</td><td><input type="text"/></td></tr><tr><td>141/\$1,280</td><td>241/\$640</td><td>Petition to revive unintentionally abandoned application</td><td><input type="text"/></td></tr><tr><td>142/\$1,280</td><td>242/\$640</td><td>Utility Issue Fee (Or Reissue)</td><td><input type="text"/></td></tr><tr><td>143/\$460</td><td>243/\$230</td><td>Design Issue Fee</td><td><input type="text"/></td></tr><tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td><input type="text"/></td></tr><tr><td>126/\$180</td><td>126/\$180</td><td>Submission of Information Disclosure Statement</td><td><input type="text"/></td></tr><tr><td>179/\$740</td><td>279/\$370</td><td>Request for Continued Examination (RCE)</td><td><input type="text"/></td></tr><tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td><input type="text" value="40"/></td></tr><tr><td>146/\$740</td><td>246/\$370</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td><input type="text"/></td></tr><tr><td>149/\$740</td><td>249/\$370</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td><input type="text"/></td></tr><tr><td colspan="3">Other fee (specify):</td><td><input type="text"/></td></tr><tr><td colspan="3">Other fee (specify):</td><td><input type="text"/></td></tr><tr><td colspan="3" style="text-align: right;">SUBTOTAL (3)</td><td>(\$)40</td></tr></tbody></table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath	<input type="text"/>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>	147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="text"/>	115/\$110	215/\$55	Extension for response within first month†	<input type="text"/>	116/\$400	216/\$200	Extension for response within second month†	<input type="text"/>	117/\$920	217/\$460	Extension for response within third month†	<input type="text"/>	118/\$1,440	218/\$720	Extension for response within fourth month†	<input type="text"/>	128/\$1,960	228/\$980	Extension for response within fifth month†	<input type="text"/>	119/\$320	219/\$160	Notice of Appeal	<input type="text"/>	141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	<input type="text"/>	142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	<input type="text"/>	143/\$460	243/\$230	Design Issue Fee	<input type="text"/>	122/\$130	122/\$130	Petitions to the Commissioner	<input type="text"/>	126/\$180	126/\$180	Submission of Information Disclosure Statement	<input type="text"/>	179/\$740	279/\$370	Request for Continued Examination (RCE)	<input type="text"/>	581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="text" value="40"/>	146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>	149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>	Other fee (specify):			<input type="text"/>	Other fee (specify):			<input type="text"/>	SUBTOTAL (3)			(\$)40
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* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Michael W. Farn	Reg. Number	41,015
Signature		Date	December 11, 2001

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

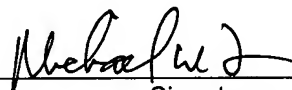
**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Jeffrey D. Walker
Title	Integrated optical device including a vertical lasing semiconductor optical amplifier
Atty Docket Number	21153-04920

I hereby certify that the invention disclosed in the attached application **has not been and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

December 11, 2001

Date



Signature

Michael W. Farn, Reg. No. 41,015

Typed or printed name/Registration Number

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.